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22390

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	<b>21437 US2</b>
First Inventor	Jin-Jun Liu et al.
Title	Novel ...
Express Mail Label No.	<b>EL912163425US</b>

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

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|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original and a duplicate for fee processing)</i>  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br><br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i> <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Reader Form (CRF)</li> </ol>  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>71</u> ]<br><i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (<i>if filed</i>)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> | b. Specification Sequence Listing on: <ol style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> Paper</li> </ol>  |
| 4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets _____]  | c. <input type="checkbox"/> Statements verifying identity of above copies  |
| 5. Oath or Declaration [Total Sheets <u>3</u> ] <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><i>(for continuation/divisional with Box 18 completed)</i> <ol style="list-style-type: none"> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ol> </li> </ol>   | ACCOMPANYING APPLICATION PARTS   |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76   | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of (when there is an assignee) <input type="checkbox"/> Attorney<br>11. <input type="checkbox"/> English Translation Document ( <i>if applicable</i> )<br>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) ( <i>Should be specifically itemized</i> )<br>15. <input type="checkbox"/> Certified Copy of Priority Document(s) ( <i>if foreign priority is claimed</i> )<br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.<br>17. <input type="checkbox"/> Other: ..... |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

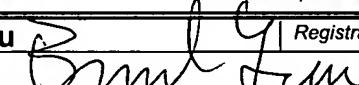
Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: .....

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_  
 For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
 The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Customer Number: **00151**      OR       Correspondence address below

Name			
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Name (Print/Type)	<b>Bernard Lau</b>	Registration No. (Attorney/Agent)	<b>38218</b>
Signature			
	Date	<b>12/09/2003</b>	

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Hoffmann-La Roche Inc.

340 Kingsland Street

Nutley, NJ 07110

Case Docket 21437 US2

December 9, 2003

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is the patent application of

Inventor(s): Jin-Jun Liu and Kin-Chun Luk

For: NOVEL DIHYDROPYRIDINONE COMPOUNDS

1. The fee has been calculated as shown below:

CLAIMS				
FOR	NO. FILED	NO. EXTRA	RATE	FEE
TOTAL CLAIMS	27 - 20	7	x \$18	126
INDEP. CLAIMS	7 - 3	4	x \$86	344
MULTIPLE DEPENDENT CLAIMS PRESENTED		+ \$290		
BASIC FEE			\$ 770	
			TOTAL	<u>\$1240</u>

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Continue to address all communications to:

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Attorney for Applicant(s)  
Bernard Lau  
(Reg. No. 38218)

137158

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**Certification under 37 CFR 1.10**

I hereby certify that this form and all documents cited on this form are being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number:

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Marta Swaryczewska  
Signature

Marta Swaryczewska

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Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

**Papers Submitted for Case Docket 21437 US2: Patent Application Transmittal Form, Application Data Sheet, Fee Transmittal Form, Specification, Declaration, Information Disclosure Statement with PTO Form 1449 and References**